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DATE: December 3, 2004

PTO IDENTIFIER: Application Number 10/709,329-Conf. #3328
Patent Number

Inventor: Earl Rotman et al.

MESSAGE TO: US Patent and Trademark Office

FAX NUMBER: (703) 872-9326

FROM: DARBY & DARBY P.C.

Richard J. Katz

PHONE: (212) 527-7700

Attorney Dkt. #: 20107/1200838-US1

PAGES (Including Cover Sheet): 59

CONTENTS: Transmittal Form (1 page)
Fee Transmittal (1 page)
Amendment in Response to Non-Final Office Action (26 pages)
Amendment Transmittal (1 page)
Declaration Under 37 CFR Section 1.1131 (Schreier, Berson and Rotman, including Exhibit A (27 pages))

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PTO/SB/87 (09-04)

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Application No. (if known): 10/709,329

Attorney Docket No.: 20107/1200838-US1

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Transmittal Form (1 page)

Fee Transmittal (1 page)

Amendment in Response to Non-Final Office Action (28 pages)

Amendment Transmittal (1 page)

Declaration Under 37 CFR Section 1.1131 (Schreier, Berson and Rotman, including Exhibit A (27 pages))

PTO/SB/21 (09-04)

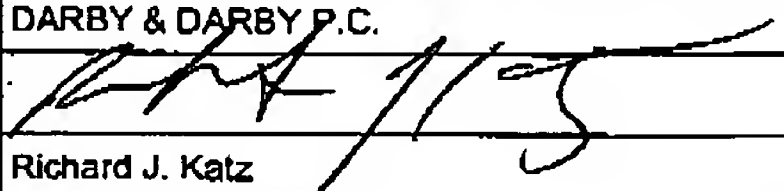
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/709,329-Conf. #3328
	Filing Date	April 28, 2004
	First Named Inventor	Earl Rotman
	Art Unit	3628
	Examiner Name	N. B. Nguyen
Total Number of Pages in This Submission	Attorney Docket Number	20107/1200838-US1

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Declaration Under 37 CFR Section 1.1131 (Schreier, Berson and Rotman including Exhibit A (27 pages)); Certificate of Transmission
<div style="border: 1px solid black; padding: 2px; display: inline-block;">Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	DARBY & DARBY P.C.		
Signature			
Printed name	Richard J. Katz		
Date	December 3, 2004	Reg. No.	47,698

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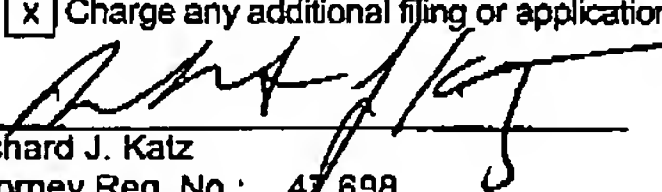
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FEE TRANSMITTAL for FY 2005 <small>Effective 10/01/2004. Patent fees are subject to annual revision.</small>		Complete if Known	
<input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		Application Number	10/709,329-Conf. #3328
TOTAL AMOUNT OF PAYMENT (\$) 1,478.00		Filing Date	April 28, 2004
		First Named Inventor	Earl Rotman
		Examiner Name	N. B. Nguyen
		Art Unit	3628
		Attorney Docket No.	20107/1200838-US1

METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)																																																																																				
<input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Deposit Account <input type="checkbox"/> None <div style="margin-left: 20px;"> Deposit Account Number: 04-0100 Deposit Account Name: Darby & Darby P.C. </div> <p>The Director is authorized to: (check all that apply)</p> <input checked="" type="checkbox"/> Charge fee(s) indicated below <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee <input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s) under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Credit any overpayments <p>To the above-identified deposit account.</p> <input type="checkbox"/> Other (please identify): _____	2. EXTRA CLAIM FEES <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee (\$)</th> <th style="text-align: right;">Small Entity Fee (\$)</th> </tr> </thead> <tbody> <tr><td>Each claim over 20</td><td style="text-align: right;">18</td><td style="text-align: right;">9</td></tr> <tr><td>Each independent claim over 3</td><td style="text-align: right;">88</td><td style="text-align: right;">44</td></tr> <tr><td>Multiple dependent claims</td><td style="text-align: right;">300</td><td style="text-align: right;">150</td></tr> <tr><td>For Reissues, each claim over 20 and more than in the original patent</td><td style="text-align: right;">18</td><td style="text-align: right;">9</td></tr> <tr><td>For Reissuance, each independent claim more than in the original patent</td><td style="text-align: right;">88</td><td style="text-align: right;">44</td></tr> </tbody> </table> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Total Claims</td> <td style="width: 10%;">Extra Claims</td> <td style="width: 10%;">Fee (\$)</td> <td style="width: 10%;">Fee Paid (\$)</td> </tr> <tr> <td>74 - 20 or HP = 49</td> <td>x</td> <td>18.00</td> <td>= 774.00</td> </tr> <tr> <td colspan="4"><small>HP= highest number of total claims paid for, if greater than 20</small></td> </tr> <tr> <td>Indep. Claims</td> <td>Extra Claims</td> <td>Fee (\$)</td> <td>Fee Paid (\$)</td> </tr> <tr> <td>16 - 3 or HP = 9</td> <td>x</td> <td>88.00</td> <td>= 704.00</td> </tr> <tr> <td colspan="4"><small>HP= highest number of independent claims paid for, if greater than 3</small></td> </tr> <tr> <td>Multiple Dependent Claims</td> <td>Fee (\$)</td> <td>Fee Paid (\$)</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (2) \$</td> <td style="text-align: right;">1,478.00</td> </tr> </table>	Fee Description	Fee (\$)	Small Entity Fee (\$)	Each claim over 20	18	9	Each independent claim over 3	88	44	Multiple dependent claims	300	150	For Reissues, each claim over 20 and more than in the original patent	18	9	For Reissuance, each independent claim more than in the original patent	88	44	Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	74 - 20 or HP = 49	x	18.00	= 774.00	<small>HP= highest number of total claims paid for, if greater than 20</small>				Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	16 - 3 or HP = 9	x	88.00	= 704.00	<small>HP= highest number of independent claims paid for, if greater than 3</small>				Multiple Dependent Claims	Fee (\$)	Fee Paid (\$)						Subtotal (2) \$			1,478.00																														
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1. BASIC FILING FEE <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee (\$)</th> <th style="text-align: right;">Small Entity Fee (\$)</th> <th style="text-align: right;">Fee Paid (\$)</th> </tr> </thead> <tbody> <tr><td>Utility Filing Fee</td><td style="text-align: right;">790</td><td style="text-align: right;">395</td><td></td></tr> <tr><td>Design Filing Fee</td><td style="text-align: right;">350</td><td style="text-align: right;">175</td><td></td></tr> <tr><td>Plant Filing Fee</td><td style="text-align: right;">550</td><td style="text-align: right;">275</td><td></td></tr> <tr><td>Reissue Filing Fee</td><td style="text-align: right;">790</td><td style="text-align: right;">395</td><td></td></tr> <tr><td>Provisional Filing Fee</td><td style="text-align: right;">160</td><td style="text-align: right;">80</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (1) \$</td> <td style="text-align: right;">0.00</td> </tr> </tbody> </table>	Fee Description	Fee (\$)	Small Entity Fee (\$)	Fee Paid (\$)	Utility Filing Fee	790	395		Design Filing Fee	350	175		Plant Filing Fee	550	275		Reissue Filing Fee	790	395		Provisional Filing Fee	160	80		Subtotal (1) \$			0.00	3. OTHER FEES <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee (\$)</th> <th style="text-align: right;">Small Entity Fee (\$)</th> <th style="text-align: right;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>1-month extension of time</td><td style="text-align: right;">110</td><td style="text-align: right;">55</td><td></td></tr> <tr><td>2-month extension of time</td><td style="text-align: right;">430</td><td style="text-align: right;">215</td><td></td></tr> <tr><td>3-month extension of time</td><td style="text-align: right;">980</td><td style="text-align: right;">490</td><td></td></tr> <tr><td>4-month extension of time</td><td style="text-align: right;">1,530</td><td style="text-align: right;">765</td><td></td></tr> <tr><td>5-month extension of time</td><td style="text-align: right;">2,080</td><td style="text-align: right;">1,040</td><td></td></tr> <tr><td>Information disclosure stmt. Fee</td><td style="text-align: right;">180</td><td style="text-align: right;">180</td><td></td></tr> <tr><td>37 CFR 1.17(a) processing fee</td><td style="text-align: right;">50</td><td style="text-align: right;">50</td><td></td></tr> <tr><td>Non-English specification</td><td style="text-align: right;">130</td><td style="text-align: right;">130</td><td></td></tr> <tr><td>Notice of Appeal</td><td style="text-align: right;">340</td><td style="text-align: right;">170</td><td></td></tr> <tr><td>Filing a brief in support of appeal</td><td style="text-align: right;">340</td><td style="text-align: right;">170</td><td></td></tr> <tr><td>Request for oral hearing</td><td style="text-align: right;">300</td><td style="text-align: right;">150</td><td></td></tr> <tr><td>Other:</td><td></td><td></td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (3) \$</td> <td style="text-align: right;">0.00</td> </tr> </tbody> </table>	Fee Description	Fee (\$)	Small Entity Fee (\$)	Fee Paid	1-month extension of time	110	55		2-month extension of time	430	215		3-month extension of time	980	490		4-month extension of time	1,530	765		5-month extension of time	2,080	1,040		Information disclosure stmt. Fee	180	180		37 CFR 1.17(a) processing fee	50	50		Non-English specification	130	130		Notice of Appeal	340	170		Filing a brief in support of appeal	340	170		Request for oral hearing	300	150		Other:				Subtotal (3) \$			0.00
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SUBMITTED BY			
Signature		Registration No. (Attorney/Agent)	47,898
Name (Print/Type)	Richard J. Katz	Telephone	(212) 527-7700
		Date	December 3, 2004

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AMENDMENT TRANSMITTAL LETTER				Docket No. 20107/1200838-US1	
Application No. 10/709,329-Conf. #3328	Filing Date April 28, 2004	Examiner N. B. Nguyen	Art Unit 3628		
Applicant(s): Earl Rotman et al.					
Invention: SYSTEM AND METHOD FOR CREATING TRADEABLE FINANCIAL UNITS					
TO THE COMMISSIONER FOR PATENTS					
Transmitted herewith is an amendment in the above-identified application. The fee has been calculated and is transmitted as shown below.					
CLAIMS AS AMENDED					
	Claims Remaining After Amendment	Highest Number Previously Paid	Number Extra Claims Present	Rate	
Total Claims	74	- 31 =	43	x 18.00	774.00
Independent Claims	15	- 7 =	8	x 88.00	704.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					
Other fee (please specify):					
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT:					1,478.00
<input checked="" type="checkbox"/> Large Entity <input type="checkbox"/> Small Entity					
<input type="checkbox"/> No additional fee is required for this amendment.					
<input checked="" type="checkbox"/> Please charge Deposit Account No. <u>04-0100</u> in the amount of \$ <u>1,478.00</u> . A duplicate copy of this sheet is enclosed.					
<input type="checkbox"/> A check in the amount of \$ _____ to cover the filing fee is enclosed.					
<input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.					
<input checked="" type="checkbox"/> The Director is hereby authorized to charge and credit Deposit Account No. <u>04-0100</u> as described below. A duplicate copy of this sheet is enclosed.					
<input checked="" type="checkbox"/> Credit any overpayment.					
<input checked="" type="checkbox"/> Charge any additional filing or application processing fees required under 37 CFR 1.16 and 1.17.					
 Richard J. Katz Attorney Reg. No.: 47,698				Dated: <u>December 3, 2004</u>	
DARBY & DARBY P.C. P.O. Box 5257 New York, New York 10150-5257 (212) 527-7717					

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